

## Participation Worksheet Instructions

The Worksheet is completed for all transactions, even those with no participation. The only exceptions are creation of leveraged procurement agreements, contract amendments or purchase order alterations involving no additional funds or no subcontractor substitutions, and review of Std. 213 contracts submitted by departments seeking approval by the TAS Unit. Also exempt are purchase documents or agreements with the federal government, any other state government, the Prison Industry Authority, Interagency Agreements, Joint Powers Agreements, contracts or agreements with the California State University or the University of California or any of their respective campuses, concession contracts, revenue/reimbursement contracts, or purchase documents or agreements with any county, city, city and county, school or special district (commonly referred to as local agencies).

If the solicitation results in multiple purchase documents awarded by individual line item or a combination of items as specified in the solicitation, a Worksheet must be completed for each purchase document.

### **Header Information**

**P.O./Contract No.:** As applicable, list either the PIN Purchase Order number or the contract number.

**Fiscal Year:** Identify the fiscal year (i.e. 04/05) in which the purchase document was issued or changed.

**For PD?:** If Procurement Division is the requester of the goods or services (it will be used by PD), then enter a mark on the line next to the “Yes.” Otherwise, enter the applicable agency billing code for the department that submitted the requisition.

**PE Number:** If the request was submitted using a Purchase Estimate, list the PIN Purchase Estimate number.

**Award Amount (Gross):** Bid award usually includes consideration of the evaluated bid price (the price after application of allowable discounts and preferences). This amount can differ from the GROSS award amount (the price after correction of mathematical errors or omissions, if applicable). Enter the GROSS amount on the Worksheet.

**Point Award:** If award is based on a point system, check the box. Otherwise, leave it blank.

**Goods/IT Goods/Services/IT Services:** Mark the corresponding classification for the transaction. Only mark one item. If the acquisition is information technology (IT) and includes a mix of goods and services, determine the predominant classification of participation achieved. If no participation was achieved for an IT transaction, determine whether the predominant portion of the transaction is goods or services.

**Supplier Name:** List the name of the contractor as shown on the purchase document.

## **Small Business Participation**

Code: Based on the descriptions provided on the Worksheet, insert either “A”, “B”, or “C.”

Prime (MB, SB, SB/NVSA, NS): Indicate whether the prime is a California certified microbusiness, small business, small business nonprofit veteran service agency, or a non-small business by inserting the corresponding designation of “MB”, “SB”, “SB/NVSA”, or “NS.” A non-small business can be either a big business or a business that has not been certified by California (e.g., as a small business, microbusiness, or a small business nonprofit veteran service agency). (Note: Allowance of the small business preference is only applicable for a SB/NVSA when it is the prime contractor)

Total MB Subcontractor \$: Identify the total contract dollars expected to be paid to certified microbusinesses participating as subcontractors in the contract.

Total SB Subcontractor \$: Identify the total contract dollars expected to be paid to certified small businesses participating as subcontractors in the contract. Do not include microbusinesses.

Subcontractor %: Enter the corresponding percentage that represents the combined contract participation of microbusiness and small business subcontractor participation.

For Code A & Code D2 awards (Award Amount): This portion is only completed for awards characterized as Code A (the supplier received award due to application of the small business preference) and as Code D2 (the supplier received award due to application of the DVBE incentive). The “gross” award amount is entered on this line. The amount should be identical to the award amount entered in the “Header” portion of this Worksheet. (Note for awards based on a point system: If the bid amount of the non-small business that was used as the basis of the 5% small business preference calculation or as the basis of the DVBE incentive calculation is more than the gross award amount of the intended awardee, enter N/A on this line and skip the next two items.)

(minus) (NS bid used to calculate the preference): Enter the bid amount of the non-small business that was used as the basis of the 5% small business preference calculation or as the basis of the DVBE incentive calculation. (Note: This figure is never larger than the Code A or Code D2 award amount, as applicable).

= (Difference): Subtract the NS bid from the Code A or Code D2 award and enter the result.

## **DVBE Participation**

This section is to be completed for both low cost and point awards. However, as indicated below, some aspects are only applicable to low cost awards.

Was the DVBE Requirement Attachment Used?: Identify whether the DVBE Attachment was used in the solicitation by marking either “Yes” or “No”. (Note: Use of Attachment A has been discontinued)

Requirement Met By: If the DVBE Attachment was used, check the corresponding box identifying how the requirement was met. If the DVBE Attachment was not used, leave this area blank.

Exemption Code: If applicable, enter an Exemption Code from the authorized list of DVBE exemptions.

DVBE Award Status: Only mark one item. If the prime is a certified DVBE, check “Prime.” If the prime is not a DVBE but one or more subcontractors are certified DVBEs, mark “SUB.” If the DVBE requirement was included in the solicitation but no participation was obtained, mark “N/A.” If the DVBE requirement was not included in the solicitation, leave this area blank.

DVBE Participation: If DVBE participation was obtained, enter the corresponding dollar amount and contract percentage. If there was no participation, leave this area blank and skip the next item.

DVBE Incentive: Enter the corresponding incentive percentage.

For Code D1 awards (Award Amount): This portion is only completed for awards characterized as Code D1 (a bidder that would have received the award was non-compliant due to ONLY the DVBE requirement). If award was based on a point system AND the two-envelope approach was used, leave this entry blank and skip the next two items.

The “gross” award amount is entered on this line. The amount should be identical to the award amount entered in the “Header” portion of this Worksheet. (Note: See the Worksheet for Code descriptions)

(minus) (Non-compliant bidder): Enter the bid amount of the business that would have received the award if it had not been deemed non-compliant. (Note: This figure is never larger than the Code D1 award amount).

= (Difference): Subtract the non-compliant bid from the Code D1 award and enter the result. Convert the difference to a percentage and enter the figure on the corresponding line. Consult your Supervisor if the difference is \$100,000 or more, or 15% or higher.

### **TACPA/EZA/LAMBRA Participation**

Skip this section if the solicitation did not include the TACPA/EZA/LAMBRA requirement.

TACPA/EZA/LAMBRA: Mark either “Yes” or “No” in each of the program areas to indicated if preference was allowed.

1. Enter the corresponding eligible percentage. Should what was claimed be more, enter only what was allowed.
2. Enter the applicable dollar value for each impacted program.

Was this a Code E award?: If participation was obtained, either mark “Yes” or “No” to identify if this was a Code E award. (Note: See the Worksheet for Code descriptions)

Signature line: Sign and date the form.